



Docket No: AM100305
Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Anita W-Y. Chan
Application No.: 10/016,229 Group Art No.: 1624
Filed: November 2, 2001 Examiner: B. Coleman
For: PROCESS FOR THE PREPARATION OF 1, 2, 3, 4, 8, 9, 10, 10a-OCTAHYDRO-7bH-CYCLOPENTA[1, 4]DIAZEPINO-[6, 7, 1-hi] INDOLE DERIVATIVES
Confirmation No.: 9006
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Commissioner for Patents
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In accordance with 37 CFR 1.97 and 1.98, Applicants submit herewith patents, publications, or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR 1.56. This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) the information is material to the examination of this application; (iii) additional information material to the examination of this application does not exist; (iv) the information, protocols, results and the like reported by third parties are accurate or enabling; or (v) the information constitutes prior art to the subject invention.

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I hereby certify that this paper and the documents referred to as enclosed therein are being deposited with the United States Postal Service on the date written below in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EV212533679US addressed to the Commissioner for Patents, PO Box 1450, Alexandria, VA 22313-1450.

November 20, 2003
Date

Paula L. Dickey
Paula L. Dickey

2. Identification of Time of Filing

This Information Disclosure Statement

- a. is filed within three months of the filing date of the application.
- b. is filed before the mailing date of a first Office Action on the merits.
- c. is filed before the mailing date of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.
- d. is filed after the period specified in 2(a), 2(b) or 2(c) above, but before the mailing date of a final action under 37 CFR 1.311. This statement includes a certification under 37 CFR 1.97(e) or the fee set forth in 37 CFR 1.17(p).
- e. is filed after the mailing date of a final action or Notice of Allowance but before payment of the issue fee. This statement includes (i) a certification under 37 CFR 1.97(e), and (ii) the fee set forth in 37 CFR 1.17(p).

3. Certification under 37 CFR 1.97(e) and 1.704(d)

The undersigned attorney certifies

- a. that each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement, or
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- c. The undersigned attorney certifies that each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign application patent office in a counterpart foreign application and was not received by any individual designated in 37 CFR 1.56(c) more than thirty (30) days prior to the filing of the statement.

Newly Cited Information

A legible copy of the patents, publications or other information cited on the attached form PTO 1449 is enclosed, except that if this patent application was filed or entered the national stage after June 30, 2003, no copy of a U.S. patent or U.S. patent application publication is enclosed.

Previously Cited Information

No copy of the patents, publications or other information cited on the attached form PTO-1449 is enclosed because it has been previously cited by or submitted to the Office in a prior application which is relied upon for an earlier filing date under 35 USC 120.

Prior application is Application Number , filed on of for

Concise Explanation
Documents cited above which are not in the English Language

a. have been explained in the specification.

b. have an abstract (or other concise explanation) in English enclosed or if readily available a translation into English of the document is enclosed.

Form PTO-1449 is enclosed in duplicate.

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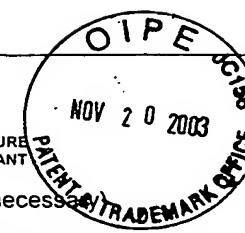
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Substitute for form 1449/PTO

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)



Complete if Known

Application Number	10/016,229
Filing Date	November 2, 2001
First Named Inventor	Anita W-Y. Chan
Group Art Unit	1624
Examiner Name	B. Coleman
Attorney Docket Number	AM100305

Sheet

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of

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U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number (If known)	Kind Code (If Known)			
1.	2002/0062022	A1	American Home Products Corp.	05-23-2002		
2.	2002/0058689	A1	American Home Products Corp.	05-16-2002		
3.	2002/0055630	A1	American Home Products Corp.	05-09-2002		
4.	2002/0128261	A1	American Home Products Corp.	09-12-2002		
5.	2002/0119966	A1	American Home Products Corp.	08-29-2002		
6.	2002/0086860	A1	American Home Products Corp.	07-04-2002		
7.	2002/0107242	A1	American Home Products Corp.	08-08-2002		

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (If Known)				
8.	WO	02/08186			Marc Labelle et al.	01-31-2002		<input type="checkbox"/>
9.	WO	00/35922			Annmarie L. Sabb et al.	06-22-2000		<input type="checkbox"/>
10.	WO	96/29316			Peter De Boer et al.	09-26-1996		<input type="checkbox"/>

OTHER PRIOR ART — NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.			T			
		11.	12.	13.	14.	15.	16.	17.
		D. KIM, J. Heterocyclic Chem., 13, 1187-1192 (1976)						<input type="checkbox"/>
		S. ARCHER et al., J. Am. Chem. Soc., 79, 5783-5785 (1957)						<input type="checkbox"/>
		L. ZHANG et al., Tetrahedron Letters, 36(46), 8387-8390 (1995)						<input type="checkbox"/>
		G.E. STOKKER, Tetrahedron Letters, 37(31), 5453-5456 (1996)						<input type="checkbox"/>
		CUADRO et al., Synthetic Communications, 21(4), 535-544 (1991)						<input type="checkbox"/>
		W. PERKIN et al., J. Chem. Soc., 123, 3242-3247 (1923)						<input type="checkbox"/>
		H. BOOTH et al., J. Chem. Soc., 158, 2302-2311 (1958)						<input type="checkbox"/>

Examiner Signature	Date Considered
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